

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	909C0892584503
	First Inventor	IRVING TSAI
	Title	
	Express Mail Label No.	

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450
---	---

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17) + check (#375)
 (Submit an original and a duplicate for fee processing) ✓
2. ☒ Applicant claims small entity status.
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 109]
 (preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 92]

5. Oath or Declaration [Total Sheets 2]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
 (for continuation/divisional with Box 18 completed)

- i. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s)
 name in the prior application, see 37 CFR
 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
 Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
 (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
 (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
 Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35
 or its equivalent.
17. ☒ Other: copy of petition to correct
inventorship (filed 8/18/2003)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08/925,845

Prior application information: Examiner Hong, Stephen S. Art Unit: 2178
 For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number: OR ☒ Correspondence address below

Name	IRVING TSAI				
Address	435 EAST 70 Street, #16-K				
City	NEW YORK CITY	State	NY	Zip Code	10021
Country	USA	Telephone		Fax	
Name (Print/Type)	IRVING TSAI		Registration No. (Attorney/Agent)		
Signature	Irving Tsai		Date	SEPT. 9, 2003	

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

22264 U.S. PTO
10/65343
09/11/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$)⁰⁰ \$ 375.00

Complete if Known

Application Number

Filing Date

First Named Inventor

IRVING TSAI

Examiner Name

Art Unit

Attorney Docket No.

909C0892584503

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number
Deposit Account Name

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	\$ 375.00
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) ⁰⁰ 375.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	2 - 20** = 0	9	0
Multiple Dependent	1 - 3** = 0	42	0
		140	0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)⁰⁰ 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)⁰⁰ 0

SUBMITTED BY

(Complete if applicable)

Name (Print/Type) IRVING TSAI

Registration No.
(Attorney/Agent)

Telephone

Signature Irving Tsai

Date SEPT. 9, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Please type a plus sign (+) inside this box → ☒
 PTO/SB/05 (8-96)
 Approved for use through 8/30/96. OMB DES 1-0032
 Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**NEW UTILITY PATENT
APPLICATION TRANSMITTAL**

(to be used for new applications only)

Attorney Docket Number

78149.0001

First Named Inventor

Irving Tsai

Total Pages in this Submission

226

APPLICATION ELEMENTS

Notice: Checklist items mentioned under Application Elements section constitute a new utility patent application. Please refer to MPEP Sections 504, 601, (37CFR 1.77, 1.53, 35 USC 111, 112, 113) for detailed explanation regarding completeness of an original patent application.

1. ☐ Fee Transmittal Form (prescribed filing fee(s))

2. Specification

☒ Title of the Invention☐ Cross References to Related Applications
(if applicable)☐ Statement Regarding Federally-sponsored
Research/Development (if applicable)☐ Reference to Microfiche Appendix
(if applicable)☒ Background of the Invention☒ Brief Summary of the Invention☒ Brief Description of the Drawings
(if drawings filed)☒ Detailed Description☒ Claim or Claims☒ Abstract of the Disclosure3. ☒ Drawing(s) (when necessary as prescribed by
35 USC 113)4. ☐ Executed Declaration5. Genetic Sequence Submission
(if applicable, all must be included)☐ Paper Copy☐ Computer Readable Copy☐ Statement Verifying Identical Paper and
Computer Readable Copy
ACCOMPANYING APPLICATION PARTS
6. ☐ Assignment Papers7. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)8. ☐ Computer Program in Microfiche9. ☐ English Translation Document (if applicable)10. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS
Citations11. ☐ Petition Checklist and Accompanying Petition12. ☐ Preliminary Amendment13. ☐ Proprietary Information14. ☐ Return Receipt Postcard15. ☐ Small Entity Statement16. ☐ Additional Enclosures (please identify below):
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT
Firm
or
individual name

Steven J. Rizzi

Signature

Steven J. Rizzi by John A. Traugh

Date

9/8/97

FOR OFFICIAL USE ONLY

Application Number		Class		Independent Claims	
Date of Receipt	Application Type	GAU		Total Claims	
	Filing Date	Foreign Filing License?		Drawing Sheets	
	Small Entity	Foreign Address?		Special Handling?	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Tsai, Irving

WARNING: Patent must be applied for in the name(s) of all of the actual inventor(s). 37 CFR 1.41(a) and 1.53(b).

For (title):

Method and Apparatus for Linking Designated Portions
of a Received Document Image with an Electronic Address

CERTIFICATION UNDER 37 C.F.R. 1.10*

(Express Mail label number is mandatory.)

(Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date September 8, 1997 in an envelope as "Express Mail Post Office to Addressee," mailing Label Number EM574203211US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

John L. Dauer, Jr., Esq.

(type or print name of person mailing paper)

 (Reg. No. 39,953)
Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

***WARNING:** Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Application Transmittal [4-1]—page 1 of 9)

**POST OFFICE
TO ADDRESSEE**

EXPRESS MAIL
UNITED STATES POSTAL SERVICE

EM574203211US



* E M S 7 4 2 0 3 2 1 1 U S *

INTERNATIONAL SHIPMENTS ONLY		P.O. ZIP	Date of Delivery	Day of Delivery	Postage
<input type="checkbox"/> Business Papers	<input type="checkbox"/> Merchandise	100	9/8/97	Next <input type="checkbox"/> Second <input type="checkbox"/> Flat Rate Envelope <input type="checkbox"/>	\$ 17.21
Customs forms and commercial invoice may be required. See Pub. 273 and International Mail Manual.		Time in AM <input type="checkbox"/> PM <input checked="" type="checkbox"/>	12 Noon <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day <input type="checkbox"/>	Return Receipt <input type="checkbox"/>	COD <input type="checkbox"/>
Weight 2.05		Flat Alpha Country Code	Total Postage & Fees		\$ 17.21
To: Receiver <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday <input type="checkbox"/>		Acc. Reference Code			

**SEE REVERSE SIDE FOR THE
SERVICE GUARANTEE AND LIMITS
ON THE INSURANCE COVERAGE**

CUSTOMER USE ONLY

METHOD OF PAYMENT:

Express Mail Corporate Acct. No.

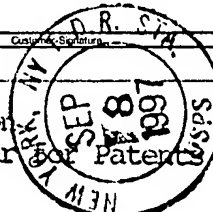
Federal Agency Acct. No. or

Postal Service Acct. No.

☐ **WAIVER OF SIGNATURE (Domestic Only):** I wish delivery to be made without obtaining the signature of the addressee or the addressee's agent (if in the judgment of the delivery employee, the article can be left in a secure location) and I authorize the delivery employee to sign that the shipment was delivered and understand that the signature of the delivery employee will constitute valid proof of delivery.

NO DELIVERY

☐ WEEKEND ☐ HOLIDAY



FROM: (PLEASE PRINT) PHONE
John Dauer
WEIL GOTSHAL & MANGES LLP
767 5TH AVE
NEW YORK NY 10153-0001

TO: (PLEASE PRINT) PHONE
Box Patent Application
Assistant Commissioner for Patents
Washington, DC 20231

78149/0001/1889

FOR PICKUP OR TRACKING CALL 1-800-222-1811

LABEL 11-F, 5/93

Sir:

Please stamp the date of receipt and the serial number, if appropriate, hereon, and return by mailing. Thank you.

Documents enclosed are:

- (1) New Utility Patent Application Transmittal from,
- (2) New Application Transmittal form, and
- (3) Patent Application entitled "Method and Apparatus for Linking Designated Portions of a Received Document Image with an Electronic Address" (consisting of 107 pages of specification, 1 page of claims, 1 page of abstract and 107 sheets of informal drawings) for applicant Irving Tsai

Date Document(s) Mailed: 9/8/97
Express Mail No: EM574203211US
Attorney Docket No.: 78149.0001
Attorney: John L. Dauer, Jr. (Reg. No. 39,953)

See previous page for correlation

See yellow highlight

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

IRVING R. TSAI

[erroneously listed as "Rizzi" on PTO correspondence]

Application No. 08/925,845

Filed: September 8, 1997

For: METHOD AND APPARATUS FOR
LINKING PORTIONS OF A RECEIVED
DOCUMENT IMAGE WITH AN ELECTRONIC
ADDRESS

COPY
Filed August 18, 2003

Assistant Commissioner for Patents
Washington, DC 20231

ATTENTION: PETITION TO CORRECT
INVENTORSHIP

Honorable Commissioner for Patents,

I hereby petition the United States Patent & Trademark Office for a timely correction in the inventorship of U.S. Patent Application No. 08/925,845 (filed on September 8, 1997), which has been erroneously listed as "Rizzi" on PTO correspondence. I certify that I am the sole inventor of U.S. Patent Application No. 08/925,845 and that to the best of my knowledge that the error in inventorship was not the result of any willful act or omission on my part, or on the part of anyone who may have represented me in the past before the patent and trademark office. I respectfully request a timely review of the PTO records of this application, which I am confident will corroborate the validity of this petition. I furthermore respectfully request a timely correction to this error such that such this application may issue with the correct inventor named on the patent cover page.

I have enclosed a sampling of filing related documents from various times in the prosecution history of this application which indicate the correct inventorship. The PTO records in this case should confirm their accuracy. The correct inventor name is Irving R. Tsai.

Sincerely,

Irving Tsai
Irving Tsai

August 17, 2003